

Form PTO-1449 (modified)

List of Patents and Publications
For Applicant's Information
Disclosure Statement

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ATTY. DOCKET NO.
UTSC:295/PARSERIAL NO.
UNKNOWN

09/447,681

APPLICANT
ROTH et al.FILING DATE 11/23/99
~~OCTOBER 13, 1992~~GROUP
UNKNOWN

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U.S. PATENT DOCUMENTS

| EXAM. INIT. | REF. DES. | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS | FILING DATE IF APPROPRIATE |
|----------------|--------------|--------------------|----------|--------------|-------|--------------|-------------------------------|
| dc | A1 | 5,055,400 | 10/08/91 | Lo, et al. | / | / | |
| dc | A2 | 4,980,289 | 12/25/90 | Temin et al. | / | / | |

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| EXAM. INIT. | REF. DES. | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB CLASS | TRANSLATION YES/NO |
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| dc | B1 | 0,174,608 | 09/05/85 | Europe | / | / | |
| dc | B2 | 0,351,585 | 06/23/89 | Europe | / | / | |
| dc | B3 | 0,475,623 | 08/23/91 | Europe | / | / | |

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| dc | C1 | Bandyopadhyay & Temin, "Expression of Complete Chicken Thymidine Kinase Gene Inserted in a Tetrovirus Vector," <i>Molecular and Cellular Biology</i> , 4(4):749-754, 1984. |
| | C2 | Bowtell et al., "Comparison of Expression in Hemopoietic Cells by Retroviral Vectors Carrying Two Genes," <i>Journal of Virology</i> , 62(7):2464-2473, 1988. |
| | C3 | Casson et al., "p53 Gene Mutations in Barrett's Epithelium and Esophageal Cancer," <i>Cancer Research</i> , 51:4495-4499, 1991. |
| | C4 | Chen et al., "Genetic Mechanisms of Tumor Suppression by the Human p53 Gene," <i>Science</i> , 250:1576-1580, 1990. |
| | C5 | Chen et al., "Expression of Wild-Type p53 in Human A673 Cells Suppresses Tumorigenicity but Not Growth Rate," <i>Oncogene</i> , 6:1799-1805, 1991. |
| | C6 | Goyette et al., "Progression of Colorectal Cancer Is Associated with Multiple Tumor Suppressor Gene Defects but Inhibition of Tumorigenicity Is Accomplished by Correction of Any Single Defect via Chromosome Transfer," <i>Molecular and Cellular Biology</i> , 12(3):1387-1395, 1992. |
| | C7 | Gusterson et al., "Expression of p53 in Premalignant and Malignant Squamous Epithelium," <i>Oncogene</i> , 6:1785-1798, 1991. |
| dc | C8 | Kumar et al., "Activation of ras Oncogenes Preceding the Onset of Neoplasia," <i>Science</i> , 248:1101-1104, 1990. |

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| dc | C9 | Maxwell et al., "Inefficiency of Expression of Luciferase Reporter from Transfected Murine Leukaemia Proviral DNA May Be Partially Overcome by Providing a Strong Polyadenylation Signal," <i>Journal of General Virology</i> , 72:1721-1724, 1991. |
| | C10 | Mukhopadhyay et al., "Specific Inhibition of K-ras Expression and Tumorigenicity of Lung Cancer Cells by Antisense RNA," <i>Cancer Research</i> , 51:1744-1748, 1991. |
| | C11 | Owens & Boyd, "Expressing Antisense Po RNA in Schwann Cells Perturbs Myelination," <i>Development</i> , 112:639-649, 1991. |
| | C12 | Palmer et al., "Efficient Retrovirus-Mediated Transfer and Expression of a Human Adenosine Deaminase Gene in Diploid Skin Fibroblasts from an Adenosine Deaminase-Deficient Human," <i>Proceedings of the National Academy of Science USA</i> , 84:1055-1059, 1987. |
| | C13 | Seyama et al., "In Vitro and In Vivo Regulation of Liver Epithelial Cells Carrying a Metallothionein-rasT24 Fusion Gene," <i>Molecular Carcinogenesis</i> , 1:89-95, 1988. |
| | C14 | Takahashi et al., "Wild-Type but Not Mutant p53 Suppresses the Growth of Human Lung Cancer Cells Bearing Multiple Genetic Lesions," <i>Cancer Research</i> , 52:2340-2343, 1992. |
| | C15 | Zhou & Duesberg, "myc Protooncogene Linked to Retroviral Promoter, but Not to Enhancer, Transforms Embryo Cells," <i>Proceedings of the National Academy of Science USA</i> , 85:2924-2928, 1988. |
| | C16 | Conroy, "New Gene Therapy Cleared for Use Against Lung Cancer," <i>Biotech Daily</i> , pp. 3-4, September 18, 1992. |
| dc | C17 | Dialog Search Report dated September 22, 1992. |

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ATTY. DOCKET NO.
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Disclosure StatementAPPLICANT
ROTH et al.FILING DATE 11/23/99
OCTOBER 13, 1992GROUP
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U.S. PATENT DOCUMENTS

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| | B4 | 0 390 323 | 10/03/90 | Europe | C12Q | 1/68 | |
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| dc | C18 | Sundaresan, V., et al., "Somatic Genetic Changes in Pre-Invasive Lesions in Bronchial Epithelium," J. Pathol., 167(Suppl) 1992, 100A, Abstract Only. |
| dc | C19 | Dialog Search Reports dated August 7, 1992 and February 26, 1993. |
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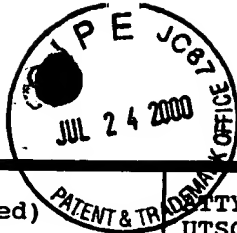
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PRIORITY, DOCKET NO.
UTSC:295/SERSERIAL NO.
07/960,513

09/447,681

List of Patents and Publications
For Applicant's Information
Disclosure StatementAPPLICANT
Jack A. Roth et al.

(Use several sheets if necessary)

FILING DATE 11/23/99
~~October 13, 1992~~GROUP
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U.S. PATENT DOCUMENTS

| EXAM. INIT. | REF. DES. | DOCUMENT NUMBER | DATE | NAME | CLASS | SUB CLASS | FILING DATE IF APPROPRIATE |
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| dc | A3 | 4,740,463 | 04/26/88 | Weinberg et al. | 435 | 172.3 | |

FOREIGN PATENT DOCUMENTS

| EXAM. INIT. | REF. DES. | DOCUMENT NUMBER | DATE | COUNTRY | CLASS | SUB CLASS | TRANSLATION YES/NO |
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| dc | B5 | WO 90/10448 | 09/29/90 | PCT | / | / | |
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| dc | C20 | Debus et al., J Cancer Res Clin Oncol, 116(Suppl Part 1):5-162, Abstract # A2.037.09, 1990. |
| | C21 | Delauney et al., "A stable bifunctional antisense transcript inhibiting gene expression in transgenic plants", Proc. Natl. Acad. Sci. USA, 85:4300-4304, 1988 |
| | C22 | Feig, et al., "Somatic Activation of ras ^K Gene in a Human Ovarian Carcinoma", Science, 223:698-701, 1984 |
| | C23 | Finkel, et al., "Activation of ras Genes in Human Tumors Does Not Affect Localization, Modification, or Nucleotide Binding Properties of p21", Cell, 37:151-158, 1984 |
| | C24 | Griep and Heiner, "Antisense Myc sequences induce differentiation of F9 cells", Proc. Natl. Acad. Sci. USA, 85:6806-6810, 1988 |
| | C25 | Gunning, et al., "A human β -actin expression vector system directs high-level accumulation of antisense transcripts", Proc. Natl. Acad. Sci. USA, 84:4831-4835, 1987 |
| | C26 | Kasid, et al., "Effect of Antisense c-raf-1 on Tumorigenicity and Radiation Sensitivity of a Human Squamous Carcinoma", Science, 243:1354-1356, 1989 |
| | C27 | Khokha, Rama, et al., "Antisense RNA-Induced Reduction in Murine TIMP Levels Confers Oncogenicity on Swiss 3T3 Cells", Science, 243:947-950, 1989 |
| dc | C28 | Kris, et al, "Expression of Ki-Ras Oncogene in Tumor Cell Variants Exhibiting Different Metastatic Capabilities", Int. J. Cancer, 35:227-230, 1985 |

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Deborah Amick

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| | C30 | Johnson, et al., "Transfection of a Rat Cell Line with the v-Ki-ras Oncogene is Associated with Enhanced Susceptibility to Natural Killer Cell Lysis", <i>J. Exp. Med.</i> , 162:1732-1737, 1985 |
| | C31 | McGrath, et al., "Structure and organization of the human Ki-ras proto-oncogene and a related processed pseudogene", <i>Nature</i> , 304:501, 1983 |
| | C32 | Magrath, "Tumor-specific antisense oligonucleotides for controlling cancer", Abstract No. 114:55778n, <i>Chemical Abstracts</i> , 114(7):68 (1991) |
| | C33 | Mercola, et al., "Antisense RNA: Eukaryotic Controls", <i>Gene</i> , 72:253-265 (1988) |
| | C34 | Miller and Rosman, "Improved Retroviral Vectors for Gene Transfer and Expression", <i>BioTechniques</i> , 7(9):980-990, 1989 |
| | C35 | Munroe, Stephen H., "Antisense RNA inhibits splicing of pre-mRNA in vitro", <i>The EMBO Journal</i> , 7(8):2523-2532 (1988) |
| | C36 | Prochownik, et al., "c-myc Antisense Transcripts Accelerate Differentiation and Inhibit G ₁ Progression in Murine Erythroleukemia Cells", <i>Molecular and Cellular Biology</i> , 8(9):3683-3695, 1988 |
| | C37 | Santos, et al., "Malignant Activation of a K-ras Oncogene in Lung Carcinoma but Not in Normal Tissue of the Same Patient", <i>Science</i> , 223:661-664, 1984 |
| | C38 | Shimizu, et al., "Structure of the Ki-ras gene of the human lung carcinoma cell line Calu-1", <i>Nature</i> , 304:497-500, 1983 |
| dc | C39 | Stowers, et al., "Activation of the K-ras Protooncogene in Lung Tumors from Rats and Mice Chronically Exposed to Tetranitromethane", <i>Cancer Research</i> , 47:3212-3219, 1987 |

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Jack A. Roth et al.

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U.S. PATENT DOCUMENTS

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| de | C40 | Taya, et al., "A novel combination of K-ras and myc amplification accompanied by point mutational activation of K-ras in a human lung cancer", <i>The EMBO Journal</i> , 3(12):2943-2946, 1984 |
| | C41 | Toftgard, et al., "Proto-oncogene expression during two-stage carcinogenesis in mouse skin", <i>Carcinogenesis</i> , 6(4):655-657, 1985 |
| | C42 | Vogelstein, et al., "Genetic Alterations Durin gColorectal-Tumor Development", <i>The New England Journal of Medicine</i> , 319(9):525-532, 1988 |
| | C43 | Wahran et al., <i>Tumour Biol</i> , 6:41-56, 1985. |
| de | C44 | Winter and Perucho, "Oncogene Amplification during Tumorigenesis of Established Rat Fibroblasts Reversibly Transformed by Activiated Human ras Oncogenes", <i>Molecular and Cellular Biology</i> , 6(7):2562-2570, 1986 |
| | C45 | International Search Report, mailed August 20, 1992 |
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| de | B6 | WO 93/03769 | MAR 4, 1993 | PCT | / | / | |
| | B7 | FR 2,688,514 | SEP 17, 1993 | France | / | / | |
| | B8 | WO 94/10323 | MAY 11, 1994 | PCT | / | / | |
| | B9 | WO 94/24297 | OCT 27, 1994 | PCT | / | / | |
| de | B10 | WO 95/02697 | JAN 26, 1995 | PCT | / | / | |

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| de | C47 | Wills and Menzel, "Adenovirus Vectors for Gene Therapy of Cancer," <i>Journal of Cellular Biochemistry</i> , p. 204, Abstract # S216, March-April 1993. |
| de | C48 | Zhang et al., "Generation and Identification of Recombinant Adenovirus by Liposome-Mediated Transfection and PCR Analysis," <i>BioTechniques</i> , 15(5):868-872, 1993. |
| | C49 | PCT Search Report dated July 5, 1995 |
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